

# RETENTION AND DISPOSAL OF RECORDS PROCEDURE

| Prepared By: -                                                                      | Approved By:-                                                                        |
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| Date: 15/7/2026                                                                     | Date: 15/7/2026                                                                      |

## 1.0 OBJECTIVE

- 1.1 To illustrate the process in the management of records at all Centre of Studies (CoS) and Administrative Offices (AO).
- 1.2 To demonstrate the quality production of an updated master list of disposed of as well as retained records.
- 1.3 To create uniformity in the process of disposal of records within IIUM campuses.

## 2.0 SCOPE

These procedures cover:

- 2.1 The management of retention and disposal of IIUM records of permanent and temporary values, related to general/functional files.
- 2.2 The process of transfer of records with permanent value by CoS/AO to outsourced central record location.
- 2.3 The disposal of records with temporary value at CoS/AO.

**Notes:** The procedure applies to all campus libraries except for 2.2 which is only applicable to Gombak Campus.

## 3.0 ACCOUNTABILITY

- 3.1 The following offices are accountable for Retention and Disposal of Records:
  - a) Dar al-Hikmah Library- Custodian
  - b) Knowledge Management Section- Owner
  - c) Archives Management Section- Operations and services offered

## 4.0 ABBREVIATION

|        |                                              |
|--------|----------------------------------------------|
| AMS    | Archives Management Section                  |
| AS     | Administration Section                       |
| CoS/AO | Centre of Studies and Administrative Offices |
| MSD    | Management Services Division                 |
| PIC    | Person in Charge                             |
| OCRL   | Outsourced Central Record Location           |

## 5.0 REFERENCE

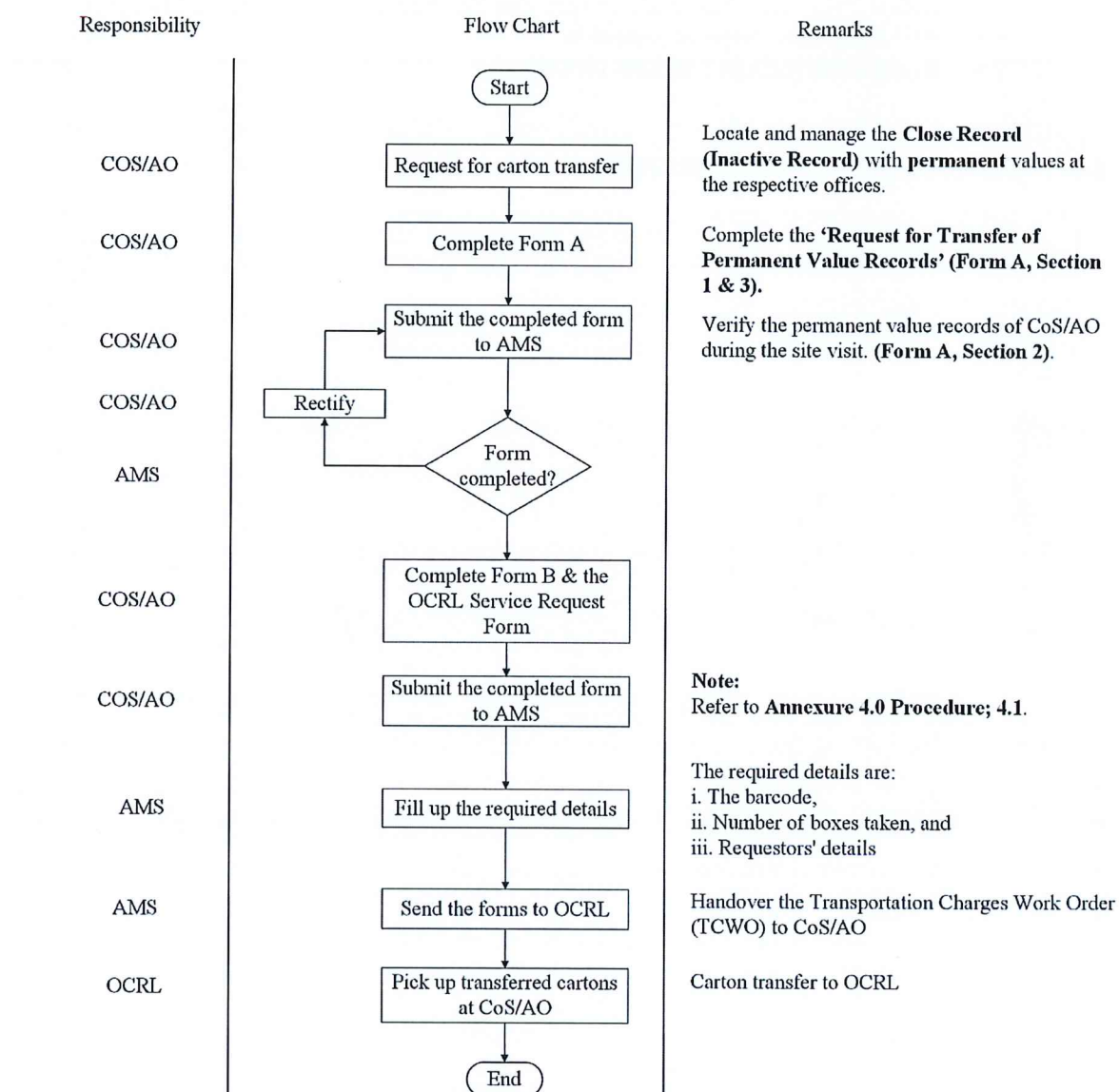
- 5.1 National Archives Act 2003 (Act 629)
- 5.2 Jadual Pelupusan Rekod Urusan Am, Arkib Negara Malaysia
- 5.3 Jadual Pelupusan Rekod Kewangan dan Perakaunan, Arkib Negara Malaysia
- 5.4 IIUM Records Disposal Schedule
- 5.5 Regalia file (UIAM.LIB.100-14/1/8)

## 6.0 RECORD RETENTION PERIOD

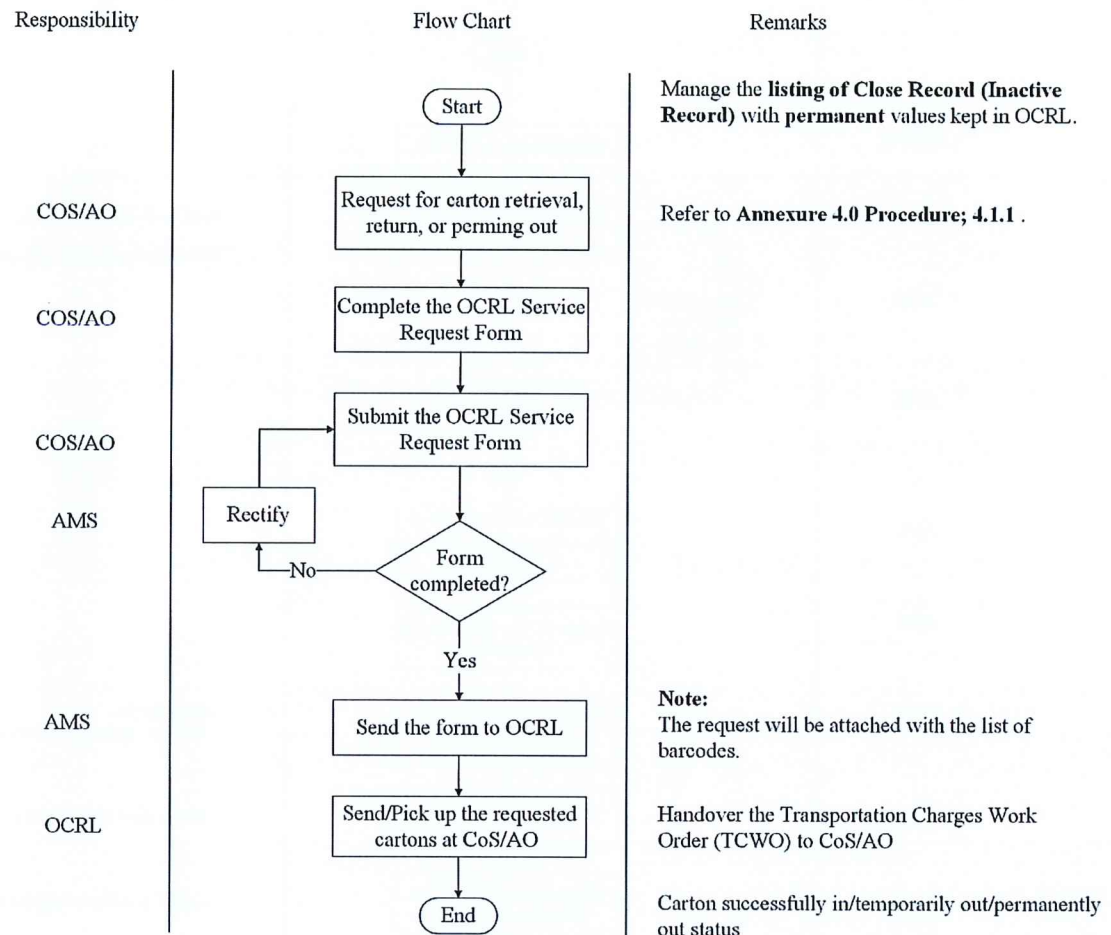
5 years.

## 7.0 PROCESS FLOW

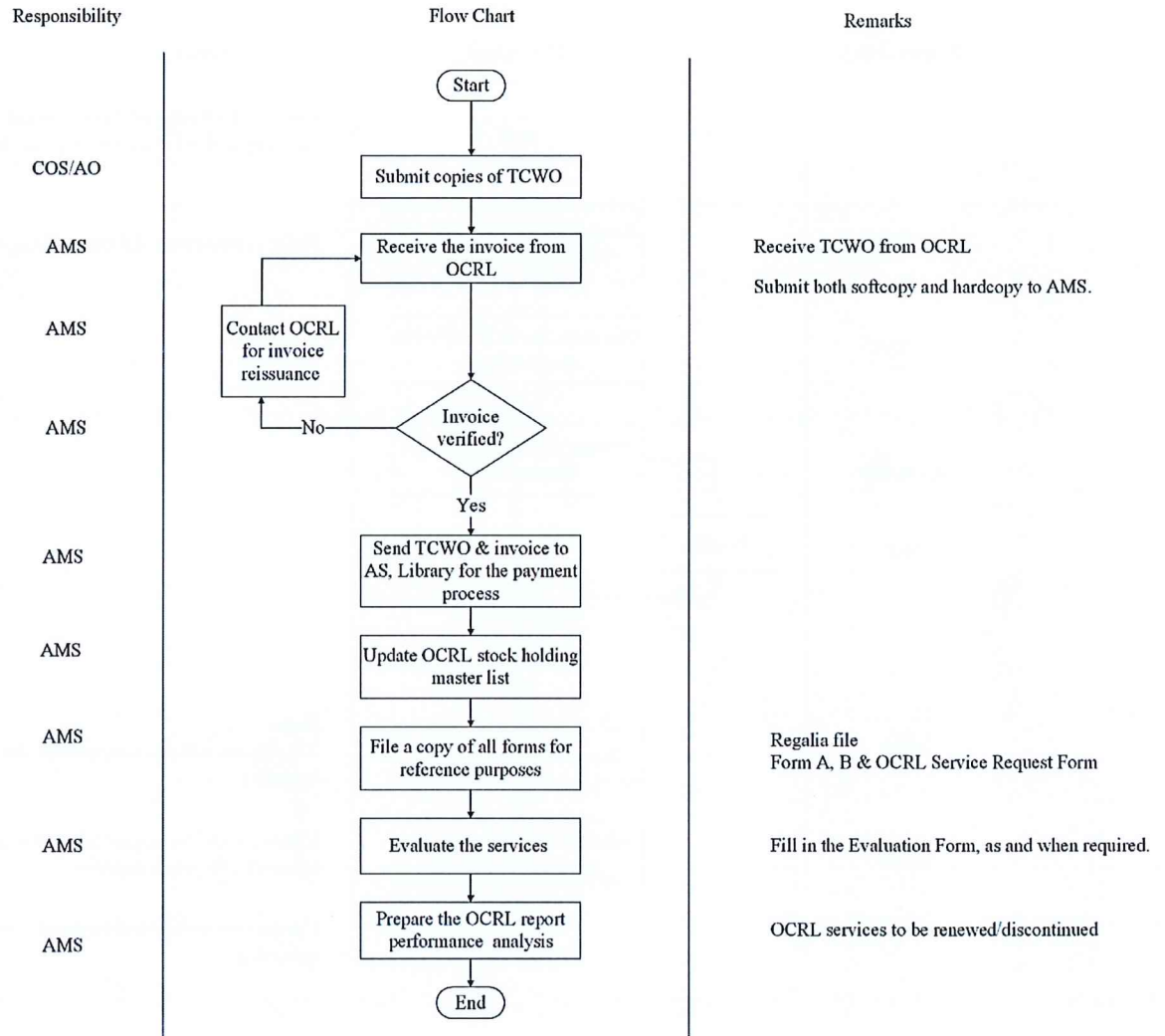
### 7.1 Transfer of Records with Permanent Value to/from Outsourced Central Record Location (OCRL)



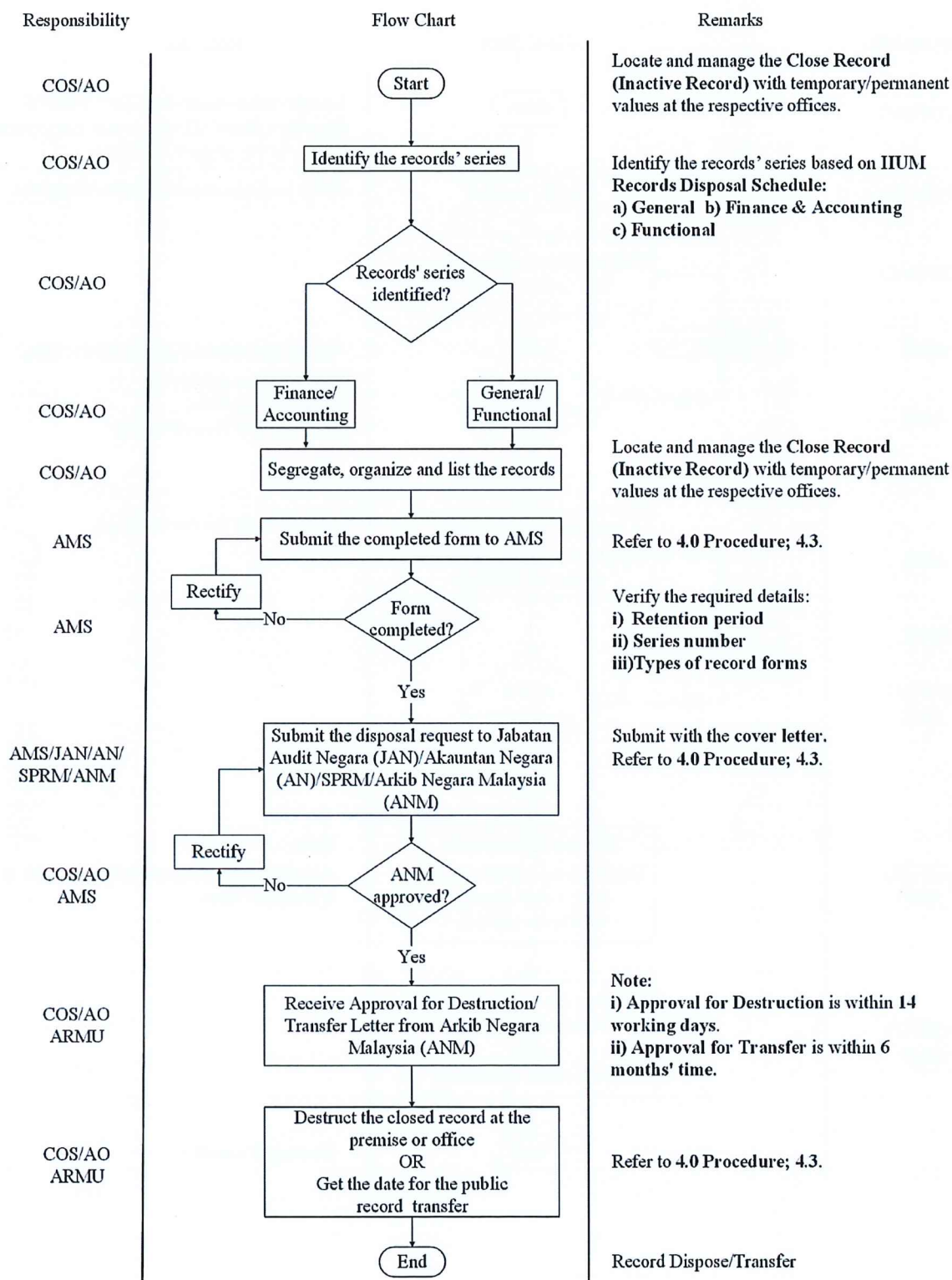
### 7.1.1 Retrieval/Returning/Perming Out of Records with Permanent Value to/from Outsourced Central Record Location (OCRL)



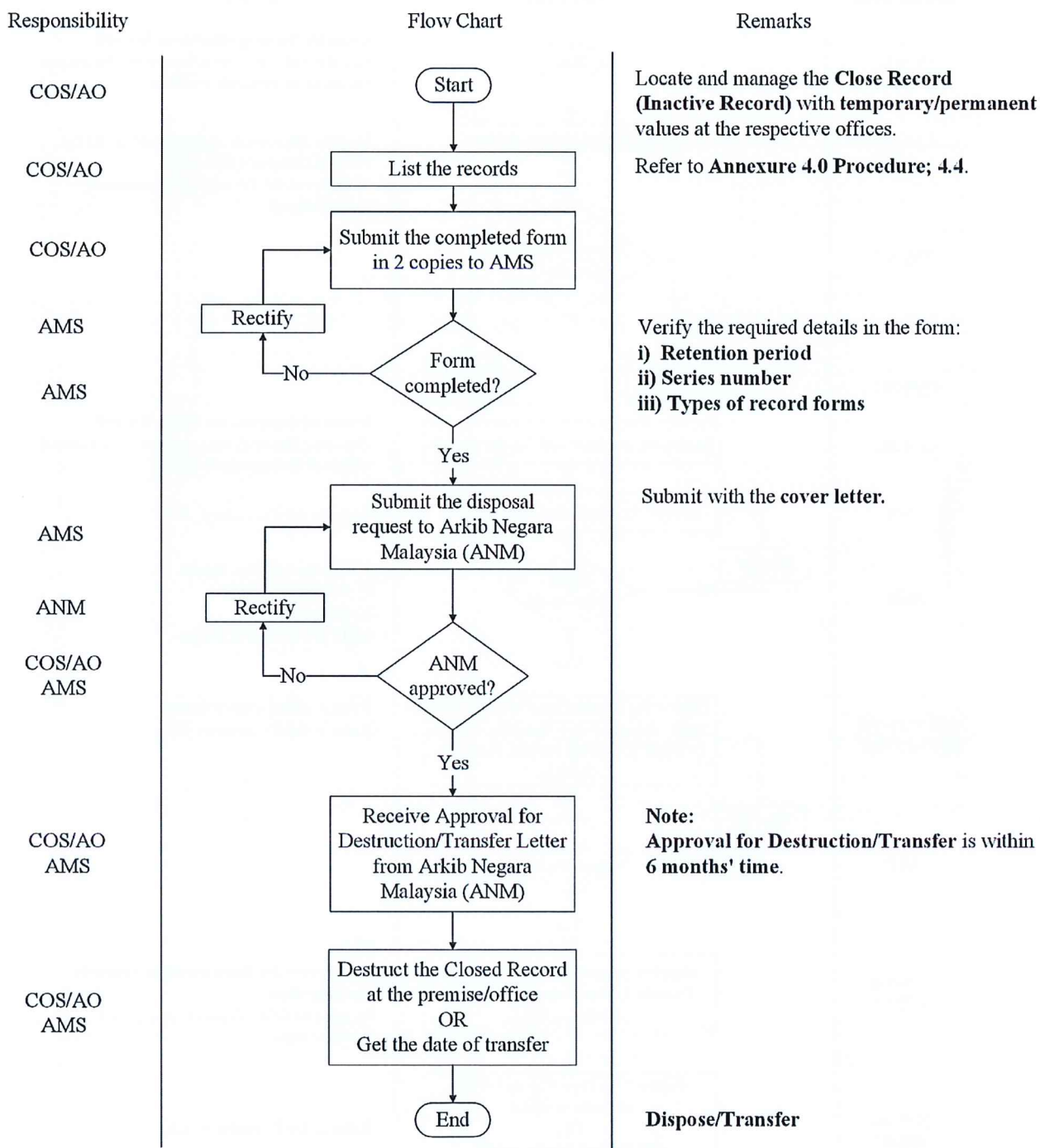
## 7.2 Post-activities for Outsourced Central Record Location (OCRL) Services



### 7.3 Disposal of Records with Temporary/Permanent Value at Centre of Studies (CoS) and Administrative Offices (AO) Based on Records Disposal Schedule: Option for Destruction or Transfer of Records



#### 7.4 Disposal of Records with Temporary/Permanent Value at Centre of Studies (CoS) and Administrative Offices (AO) Without Records Disposal Schedule: Option for Destruction or Transfer of Records



## ANNEXURE

### 1.0 TERMINOLOGIES

| TERMS                              | DEFINITION                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Records                            | Materials in written or other form setting out facts or events or otherwise recording information and includes papers, documents, registers, printed materials, books, maps, plans, drawings, photographs, microfilms, cinematograph films, sounds recordings, electronically produced records regardless of physical form or characteristics and any copy thereof.                                                                                                    |
| Records disposal                   | The manner of managing the segregation of records with view to destruction, transfer or otherwise.                                                                                                                                                                                                                                                                                                                                                                     |
| Public records                     | Records officially received or produced by any public office for the conduct of its affairs or by any public officer or employee of a public office in the course of his official duties and includes the records of any Government enterprise and also includes all records which, on the coming into operation of this Act, are in the custody or under the control of the National Archives of Malaysia established under the National Archives Act 1966 [Act 511]. |
| Records of permanent value         | <p>The ongoing usefulness or significance of records, based on the administrative, legal, fiscal, evidential, or historical information they contain, justifies their continued preservation.</p> <p>This type of record cannot be disposed of but may transferred to <i>Arkib Negara Malaysia</i> upon request.</p>                                                                                                                                                   |
| Records of temporary value         | A record of temporal/ephemeral value that can be destroyed immediately or after a specified time (also disposable records).                                                                                                                                                                                                                                                                                                                                            |
| Retention of records               | The safeguarding of important records that document decisions, policies, financial activities and internal controls.                                                                                                                                                                                                                                                                                                                                                   |
| Outsourced Central Record Location | Location of the outsourced party which provides service on managing, storing and retrieving the records of the permanent value of CoS/AO.                                                                                                                                                                                                                                                                                                                              |
| Transfer of records                | An act of transferring the university's records of permanent value to an outsourced party or <i>Arkib Negara Malaysia</i> .                                                                                                                                                                                                                                                                                                                                            |
| Perm-out                           | A service request for permanent removal of boxes/cartons from OCRL storage.                                                                                                                                                                                                                                                                                                                                                                                            |

## 2.0 MAIN QUALITY INPUT

- 2.1 Records created, used and maintained at CoS/AO, organized based on the IIUM Filing Code.
- 2.2 Closed or inactive records are identified by CoS/AO after a certain period of their life cycle.

## 3.0 MAIN QUALITY OUTPUT

- 3.1 Records of permanent value are transferred to OCRL for appropriate action.
- 3.2 Records of temporary value are maintained at CoS/AO.
- 3.3 The updated version of master lists of inventories of records is maintained by PIC at CoS/AO.



## 4.0 PROCEDURE

#### 4.1 Transfer of Records with Permanent Value to/from Outsourced Central Record

Location (OCRL)

| NO. | ACTIVITY                                                                                                                                                                                                                                                                                                                                                                    | REFERENCE                                 | PIC    |
|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|--------|
| 1.  | Locate and manage the <b>Close Record (Inactive Record)</b> with <b>permanent</b> values at the respective offices.                                                                                                                                                                                                                                                         |                                           | CoS/AO |
| 2.  | Complete the <b>‘Request for Transfer of Permanent Value Records’</b> .<br><br><b>Note:</b><br>All related forms can be downloaded from DaHL website at, <a href="https://division.iium.edu.my/lib/forms/">https://division.iium.edu.my/lib/forms/</a>                                                                                                                      | Form A<br>Section 1 & 3                   | CoS/AO |
| 3.  | Submit the completed form to AMS.                                                                                                                                                                                                                                                                                                                                           | Form A<br>Section 1 & 3                   | CoS/AO |
| 4.  | Verify the permanent value records of CoS/AO during the site visit.                                                                                                                                                                                                                                                                                                         | Form A<br>Section 2<br>(for AMS use only) | AMS    |
| 5.  | Complete the <b>‘List of Permanent Records to be Transferred to Outsource Central Records Location (OCRL)’ (Form B) and OCRL Service Request form</b> immediately upon approval of Form A.<br><br>Paste the barcodes at three (3) dedicated spaces;<br>i. Outside the box [AFFIX BARCODE HERE].<br>ii. Inside the cover of the box and;<br>iii. Remarks column in (Form B). | Form B &<br>OCRL Service<br>Request Form  | CoS/AO |

| NO. | ACTIVITY                                                                                                                                                                                              | REFERENCE                                | PIC    |
|-----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|--------|
|     | <b>Note:</b><br>Under the barcode label, please provide three (3) necessary details of CoS/AO for easy retrieval;<br>i. The department's name<br>ii. Destruction date<br>iii. Prefix/alternative code |                                          |        |
| 6.  | Submit Form B & the OCRL Service Request Form.                                                                                                                                                        | Form B & OCRL Service Request Form       | CoS/AO |
| 7.  | Fill up the required details in Form B as follows:<br>i. The barcode<br>ii. Number of boxes taken<br>iii. Requestors' details                                                                         | Form B                                   | AMS    |
| 8.  | Send the form to OCRL.                                                                                                                                                                                | OCRL Service Request Form                | AMS    |
| 9.  | Pick up transferred cartons at CoS/AO and handover the Transportation Charges Work Order (TCWO) to CoS/AO.                                                                                            | Transportation Charges Work Order (TCWO) | OCRL   |

4.1.1 Retrieval/Returning/Perming Out of Records with Permanent Value to/from Outsourced Central Record Location (OCRL)

| NO. | SUB-ACTIVITY                                                                                                                                                                                                                                                                                                                   | REFERENCE                                | PIC    |
|-----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|--------|
| 1.  | Manage the <b>listing of Close Record (Inactive Record)</b> with <b>permanent</b> values kept in OCRL.                                                                                                                                                                                                                         | Listing of OCRL Record                   | CoS/AO |
| 2.  | Request for carton retrieval, return, or perming out<br><br>Note:<br>i. The form can be downloaded from DaHL website at, <a href="https://division.iium.edu.my/lib/forms/">https://division.iium.edu.my/lib/forms/</a><br>ii. Any request for retrieval/returning/perming out of the cartons will be done using the same form. | OCRL Service Request Form                | CoS/AO |
| 3.  | Complete the form.                                                                                                                                                                                                                                                                                                             | OCRL Service Request Form                | CoS/AO |
| 4.  | Submit the form to AMS.                                                                                                                                                                                                                                                                                                        | OCRL Service Request Form                | CoS/AO |
| 5.  | Verify the form.                                                                                                                                                                                                                                                                                                               | OCRL Service Request Form                | AMS    |
| 6.  | Send the form to OCRL.<br>The request will be attached with the list of barcodes.                                                                                                                                                                                                                                              | OCRL Service Request Form                | AMS    |
| 7.  | Send/Pick up the requested cartons at CoS/AO and handover the Transportation Charges Work Order (TCWO) to CoS/AO.                                                                                                                                                                                                              | Transportation Charges Work Order (TCWO) | OCRL   |

#### 4.2 Post-activities for Outsourced Central Record Location (OCRL) Services

| NO. | SUB-ACTIVITY                                                                         | REFERENCE                          | PIC    |
|-----|--------------------------------------------------------------------------------------|------------------------------------|--------|
| 1.  | Submit copies of Transportation Charges Work Order (TCWO).                           | TCWO<br>(Both softcopy & hardcopy) | CoS/AO |
| 2.  | Receive the invoice from OCRL.                                                       | Invoice                            | AMS    |
| 3.  | Verify the invoice.                                                                  | Invoice                            | AMS    |
| 4.  | Send TCWO & invoice to Administration Section (AS), Library for the payment process. | TCWO & Invoice                     | AMS    |
| 5.  | Update OCRL stock holding master list.                                               | OCRL Stock Holding Master List     | AMS    |
| 6.  | File a copy of all forms for reference purposes.                                     | Regalia File                       | AMS    |
| 7.  | Evaluate the services.                                                               | OCRL Survey                        | CoS/AO |
| 8.  | Prepare the OCRL survey report performance analysis.                                 | Survey Report                      | AMS    |

#### 4.3 Disposal of Records with Temporary/Permanent Value at Centre of Studies (CoS) and Administrative Offices (AO) Based on Records Disposal Schedule: Option for Destruction or Transfer of Records

| NO. | ACTIVITY                                                                                                                                                                               | REFERENCE                                                                                                                        | PIC    |
|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|--------|
| 1.  | Locate and manage the <b>Close Record (Inactive Record)</b> with <b>temporary/permanent</b> values at the respective offices.                                                          |                                                                                                                                  | CoS/AO |
| 2.  | Identify the records' series based on <b>IIUM Records Disposal Schedule</b> .                                                                                                          | IIUM Records Disposal Schedule:<br>a) General<br>b) Finance & Accounting<br>c) Functional                                        | CoS/AO |
| 3   | Identify the records' series either;<br><br>a) Finance/Accounting b) General/Functional<br><br>For Finance/Accounting records, identify their type of group either Group 1 or Group 2. | To identify the type of Group, refer to Jadual Pelupusan Rekod Kewangan dan Perakaunan, ANM                                      |        |
| 4.  | Segregate and organize the records according to their retention period and the series number.<br>Next, list the disposal request using the forms for the designated record type.       | a) Archive Form 2/08 (Files)<br>b) Archive Form 3/08 (Electronic Records)<br>c) Archive Form 4/08 (Finance & Accounting Records) | CoS/AO |
| 5.  | Submit the completed form to AMS.                                                                                                                                                      |                                                                                                                                  | CoS/AO |
| 6.  | Verify the required details in the form:<br>i. Retention period<br>ii. Series number<br>iii. Types of record forms                                                                     |                                                                                                                                  | AMS    |

| NO. | ACTIVITY                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | REFERENCE                                                     | PIC    |
|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------|--------|
| 7.  | Submit the disposal request to Submit the disposal request to Jabatan Audit Negara (JAN)/Akauntan Negara (AN)/SPRM/Arkib Negara Malaysia (ANM) with cover letter.                                                                                                                                                                                                                                                                                                                                                                                         | Refer to Jadual Pelupusan Rekod Kewangan dan Perakaunan, ANM. | AMS    |
| 8.  | Submit the disposal request to Arkib Negara Malaysia (ANM) for approval with the cover letter.                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                               | AMS    |
| 9.  | Receive Approval for Destruction/Transfer from Arkib Negara Malaysia (ANM).<br><br>Note:<br>i. <b>Approval for Destruction</b> is within <b>14 working days</b><br>ii. <b>Approval for Transfer</b> is within <b>6 months' time</b> .                                                                                                                                                                                                                                                                                                                     | Letter of Approval                                            | AMS    |
| 10. | Destruct the closed record at the premise or office OR get the date for the public record transfer.<br><br>Note:<br>i. <b>Destruction</b> is within <b>3 months' time</b> . Send the <b>Archive Form 12/08 (Verification of Destruction of Public Records)</b> to ANM within <b>1 month</b> (refer to <i>Panduan Pelupusan Rekod Awam</i> by Arkib Negara Malaysia pg.4-6)<br>ii. Send the <b>Archive Form 11/08 (Application for Transfer of Public Records)</b> .<br>iii. Transfer will be done to ANM in <b>3 months' time</b> with the attached form. |                                                               | CoS/AO |

#### 4.4 Disposal of Records with Temporary/Permanent Value at Centre of Studies (CoS) and Administrative Offices (AO) Without Records Disposal Schedule: Option for Destruction or Transfer of Records

| NO. | ACTIVITY                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | REFERENCE                                                                                                                                                                                                                                                                                     | PIC            |
|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| 1.  | Locate and manage the <b>Close Record (Inactive Record)</b> with <b>temporary/permanent</b> values at the respective offices.                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                               | CoS/AO         |
| 2.  | List the disposal request using the forms for the designated record type.                                                                                                                                                                                                                                                                                                                                                                                                                | a) Archive Form 5/08 (Files)<br>b) Archive Form 6/08 (Cartographic Records)<br>c) Archive Form 7/08 (Architectural Records)<br>d) Archive Form 8/08 (Audio Visual Records)<br>e) Archive Form 9/08 (Publications and Printed Materials Records)<br>f) Archive Form 10/08 (Electronic Records) | CoS/AO         |
| 4.  | Verify the required details in the form:<br>i. Retention period<br>ii. Series number<br>iii. Types of record forms                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                               | AMS            |
| 5.  | Submit the disposal request to Arkib Negara Malaysia (ANM) for approval with the cover letter.                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                               | AMS            |
| 6.  | Receive Approval for Destruction/Transfer Letter from Arkib Negara Malaysia (ANM)                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                               | CoS/AO/<br>AMS |
| 7.  | Destruct the Closed Record at the premise/office OR Get the date of transfer<br><br>Note:<br>i) Destruction is within 3 months' time.<br>ii) Send the Archive Form 12/08 (Verification of Destruction of Public Records) to ANM within 1 month (refer to Panduan Pelupusan Rekod Awam by Arkib Negara Malaysia pg. 6-8).<br>iii) Send the Archive Form 11/08 (Application for Transfer of Public Records).<br>iv) Transfer will be done to ANM in 3 months' time with the attached form. |                                                                                                                                                                                                                                                                                               | CoS/AO/<br>AMS |

